

## Community Services Block Grant (CSBG) Model State Plan

### Table of Contents

#### CSBG Cover Page (SF-424M)

- Section 1: CSBG Administrative Information
- Section 2: State Legislation and Regulation
- Section 3: State Plan Development and Statewide Goals
- Section 4: CSBG Hearing Requirements
- Section 5: CSBG Eligible Entities
- Section 6: Organizational Standards for Eligible Entities
- Section 7: State Use of Funds
- Section 8: State Training and Technical Assistance
- Section 9: State Linkages and Communication
- Section 10: Monitoring, Corrective Action, and Fiscal Controls
- Section 11: Eligible Entity Tripartite Board
- Section 12: Individual and Community Income Eligibility Requirements
- Section 13: Results Oriented Management and Accountability (ROMA) System
- Section 14: CSBG Programmatic Assurances and Information Narrative
- Section 15: Federal Certifications

*THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13)*

*Public reporting burden for this collection of information is estimated to average 31 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.*

*An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.*

## Section 1

### CSBG Administrative Information

- 1.1.** Identify whether this is a one-year or a two-year plan. ☐ One-Year ☒ Two-Year
- 1.1a.** Provide the federal fiscal years this plan covers: Year One 2019 Year Two 2020
- 1.2. Lead Agency:** Update the following information in relation to the lead agency designated to administer CSBG in the state, as required by Section 676(a) of the CSBG Act. Information should reflect the responses provided in the Application for Federal Assistance, SF-424M.
- Has information in regards to the state lead agency changed since the last submission of the state plan? ☐ Yes ☒ No
- If yes, provide the date of change and select the fields that have been updated **[Date Picker and Check all the apply]**
- |  |  |                                     |
|--|--|-------------------------------------|
| <input type="checkbox"/> Lead Agency         | <input type="checkbox"/> Department Type | <input type="checkbox"/> Office     |
| <input type="checkbox"/> Authorized Official | <input type="checkbox"/> Street Address  | <input type="checkbox"/> City       |
| <input type="checkbox"/> Zip Code            | <input type="checkbox"/> Work Number     | <input type="checkbox"/> Fax Number |
| <input type="checkbox"/> Email Address       | <input type="checkbox"/> Website         |                                     |
- 1.2a.** Lead agency **[Narrative, 150 Characters]**
- 1.2b.** Cabinet or administrative department of this lead agency **[Check One and narrative where applicable]**
- |  |
|--|
| <input type="checkbox"/> Community Affairs Department                        |
| <input type="checkbox"/> Community Services Department                       |
| <input type="checkbox"/> Governor's Office                                   |
| <input type="checkbox"/> Health Department                                   |
| <input checked="" type="checkbox"/> Housing Department                       |
| <input type="checkbox"/> Human Services Department                           |
| <input type="checkbox"/> Social Services Department                          |
| <input type="checkbox"/> Other, describe: <b>[Narrative, 100 characters]</b> |
- 1.2c. Cabinet or Administrative Department Name:** Provide the name of the cabinet or administrative department of the CSBG authorized official **[Narrative, 100 Characters]** Maryland Department of Housing and Community Development
- 1.2d.** Authorized official of the lead agency. The authorized official could be the director, secretary, commissioner etc. as assigned in the designation letter (attached under item 1.3.). The authorized official is the person indicated as authorized representative on the SF-424M. **[Narrative, 50 Characters each]**
- Kenneth C. Holt, Secretary
- 1.2e.** Street Address **[Narrative, 200 characters]** 7800 Harkins Road
- 1.2f.** City **[Narrative, 50 characters]** Lanham
- 1.2g.** State **[Dropdown]** Maryland

1.2h. Zip Code [Numerical Response, 5 digits] **20706**

1.2i. Work Telephone Number and Extension (if applicable) [Numerical Response, 10 – 15 digits to include extensions] **(301) 429-7452**

1.2j. Lead Agency Website [Narrative, 200 characters] **www.dhcd.maryland.gov**

**Note:** Item 1.2. pre-populates the Annual Report, Module 1, Item A.1.

1.3. **Designation Letter:** Attach the state's official CSBG designation letter. A new designation letter is required if the chief executive officer of the state and/or designated agency has changed. **[Attach a document.] No change**

1.4. **CSBG Point of Contact:** Provide the following information in relation to the designated state CSBG point of contact. The state CSBG point of contact should be the person that will be the main point of contact for CSBG within the state.

Has information regarding to the state point of contact changed since the last submission of the state plan? ☐ Yes ☒ **No**

If yes, provide the date of change and select the fields that have been updated **[Date Picker and Check all the apply]**

☐ Agency Name

☒ **Point of Contact**

☐ Street Address

☐ City

☐ State

☐ Zip Code

☒ **Work Number**

☐ Fax Number

☒ **Email Address**

☐ Website

1.4a. Agency Name [Narrative, 150 characters]

1.4b. Point of Contact Name [Narrative, 50 characters each]

Name Stuart P. Campbell

Title Director

1.4c. Street Address [Narrative, 200 characters]

1.4d. City [Narrative, 50 characters]

1.4e. State [Dropdown]

1.4f. Zip Code [Numerical Response, 5 digits]

1.4g. Work Telephone Number [Numerical Response, 10 – 15 digits to include extensions] **301-429-7522**

1.4h. Fax Number [Numerical Response, 10 digits]

1.4i. Email Address [Narrative, 150] **stuart.campbell@maryland.gov**

1.4j. Agency Website [Narrative, 200 characters]

1.5. Provide the following information in relation to the State Community Action Association.

There is currently a state Community Action Association within the state. ☒ **Yes** ☐ No

Has information in regards to the state Community Action Association changed since the last submission of the state plan? ☒ Yes ☐ No

If yes, provide the date of change and select the fields that have been updated. **[Date Picker and Check all the apply]**

- |                                      |  |   |
|--------------------------------------|--|---|
| <input type="checkbox"/> Agency Name | <input checked="" type="checkbox"/> Executive Director | <input type="checkbox"/> Street Address           |
| <input type="checkbox"/> City        | <input type="checkbox"/> State                         | <input type="checkbox"/> Zip Code                 |
| <input type="checkbox"/> Work Number | <input type="checkbox"/> Fax Number                    | <input checked="" type="checkbox"/> Email Address |
| <input type="checkbox"/> Website     | <input type="checkbox"/> RPIC Lead                     |   |

**1.5a.** Agency name **[Narrative, 150 characters]**

**1.5b.** Executive Director or Point of Contact **[Narrative, 50 characters each]**

Name Angela Martin Title Executive Director

**1.5c.** Street Address **[Narrative, 200 characters]**

**1.5d.** City **[Narrative, 50 characters]**

**1.5e.** State **[Dropdown]**

**1.5f.** Zip Code **[Numerical Response, 5 digits]**

**1.5g.** Telephone Number **[Numerical Response, 10 – 15 digits to include extensions]**

**1.5h.** Fax Number **[Numerical Response, 10 digits]**

**1.5i.** Email Address **[Narrative, 150 characters]** amartin@maryland-cap.org

**1.5j.** State Association Website **[Narrative, 200 characters]**

**1.5k.** State Association currently serves as the Regional Performance Innovation Consortia (RPIC) lead ☐ Yes ☒ No

## Section 2

### State Legislation and Regulation

- 2.1. **CSBG State Legislation:** State has a statute authorizing CSBG. ☒ Yes ☐ No
- 2.2. **CSBG State Regulation:** State has regulations for CSBG. ☐ Yes ☒ No
- 2.3. **Legislation/Regulation Document:** Attach the legislation and/or regulations or provide a hyperlink(s) to the documents indicated under Items 2.1. and/or Item 2.2. **[Attach a document and/or provide a link, 1500 characters] To be attached.**
- 2.4. **State Authority:** Select a response for each of the following items about the state statute and/or regulations authorizing CSBG:
- 2.4a. **Authorizing Legislation:** State legislature enacts authorizing legislation or amendments to an existing authorizing statute last federal fiscal year. ☐ Yes ☒ No
- 2.4b. **Regulation Amendments:** State established or amended regulations for CSBG last federal fiscal year. ☐ Yes ☒ No
- 2.4c. **Designation:** State statutory or regulatory authority designates the bureau, division, or office in the state government that is to be the state administering agency. ☒ Yes ☐ No

## Section 3

### State Plan Development and Statewide Goals

- 3.1. CSBG Lead Agency Mission and Responsibilities:** Briefly describe the mission and responsibilities of the state agency that serves as the CSBG lead agency. **[Narrative, 2500 characters]**

The Maryland Department of Housing and Community Development works with partners to finance housing opportunities and revitalize great places for Maryland citizens to live, work, and prosper. The mission of the Division of Neighborhood Revitalization to revitalize and strengthen Maryland's communities by focusing on local needs, defining opportunity and building on assets through efficient and caring teamwork.

- 3.2. State Plan Goals:** Describe the state's CSBG-specific goals for state administration of CSBG under this State Plan. **[Narrative, 3000 characters]**

The Office of Community Services Programs (OCS), which is directly responsible for the administration of CSBG, is committed to: 1) Meet all federal and state requirements related to the administration of CSBG; 2) support and build the capacity of the 17 Eligible Entities in Maryland so they more effectively meet the letter and intent of the CSBG Act; 3) facilitate linkages between Eligible Entities and other State and local agencies serving Maryland's most vulnerable populations; and 4) strengthen and improve communication between the Lead Agency and the Eligible Entities in Maryland.

- 3.3. State Plan Development:** Indicate the information and input the state accessed to develop this State Plan.

- 3.3a. Analysis of state-level tools [Check all that applies and narrative where applicable]**

- ☒ State Performance Indicators and/or National Performance Indicators (NPIs) U.S. Census data
- ☒ State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)
- ☒ Monitoring Visits/Assessments
- ☐ Tools not identified above (specify) **[Narrative, 500 characters]**

- 3.3b. Analysis of local-level tools [Check all that applies and narrative where applicable]**

- ☒ Eligible entity community needs assessments
- ☒ Eligible entity community action plans
- ☐ Public Hearings/Workshops
- ☒ Tools not identified above (e.g., state required reports) [specify] **[Narrative, 500 characters]** The State Lead Agency conducted three, regional listening sessions with eligible entities.

**3.3c. Consultation with [Check all that applies and narrative where applicable]**

- ☒ Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)
- ☒ State Association
- ☒ National Association for State Community Services Programs (NASCSPP)
- ☐ Community Action Partnership (The Partnership)
- ☐ Community Action Program Legal Services (CAPLAW)
- ☐ CSBG Tribal Training and Technical Assistance (T/TA) provider
- ☐ Regional Performance Innovation Consortium (RPIC)
- ☐ Association for Nationally Certified ROMA Trainers (ANCRT)
- ☐ Federal CSBG Office
- ☐ Organizations not identified above (specify) **[Narrative, 500 characters]**

**3.4. Eligible Entity Involvement**

**3.4 a.** Describe the specific steps the state took in developing the State Plan to

January 18, 2018, the State convened its Annual CSBG Director's Meeting, with 16 of the 17 Directors present. Presenters included HHS/OCS staff and the DHCD Secretary. OCS provided updates on the Model State plan process and Directors were provided opportunities to discuss and provide feedback on various elements of the State Plan, including the process on developing the State Plan and the use of Discretionary funds.

April 18, 2018 the Lead Agency conducted a Webinar for eligible entities on the State Plan sections and the process which will be used during the preparation of the State Plan.

April 23<sup>rd</sup>, 26<sup>th</sup> and 27<sup>th</sup>, 2018 the CSBG State Office conducted three regional listening sessions. The purpose of the listening session was to walk through each Section of the Plan template providing an opportunity for State to receive specific comments which may be included in the State plan.

June 12, 2018, a draft State Plan was provided to the eligible entities for review and feedback. The draft State Plan was also posted on the Department website. An announcement and link to the State Plan on the Department website was published in the June 22 issue of the Maryland Register. This announcement formally begins a 30-day public comment period.

June 28, 2018 the CSBG State Office held a public hearing on the draft State Plan. A notice was published in the May 25, 2018 edition of the Maryland Register.

**Note:** This information is associated with State Accountability Measures 1Sa(ii) and may pre-populate the state's annual report form.

**3.4b. Performance Management Adjustment:** Describe how the state has adjusted its State Plan development procedures under this State Plan, as compared to previous plans, in order to 1) encourage eligible entity participation and 2)

ensure the State Plan reflects input from eligible entities? Any adjustment should be based on the state's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

**[Narrative, 3000 Characters]**

As described above, the State Lead Agency took steps to ensure eligible entities were offered the ability to provide direct input to the State. Eligible entities were able to ask questions about the process and content of the State Plan. This adjustment provided for additional opportunities for input by the eligible entities.

**Note:** This information is associated with State Accountability Measures 1Sb(i) and (ii) and pre-populate the Annual Report, Module 1, Item B.1.

- 3.5. Eligible Entity Overall Satisfaction:** Provide the state's target for eligible entity Overall Satisfaction during the performance period. Year One \_\_65\_\_ Year Two \_\_67\_\_  
**[Numerical, 3 digits]**

**Instructional Note:** The state's target score will indicate improvement or maintenance of the states' Overall Satisfaction score from the most recent American Customer Survey Index (ACSI) survey of the state's eligible entities.

**Note:** Item 3.5 is associated with State Accountability Measure 8S and may pre-populate the state's annual report form.



## Section 4

### CSBG Hearing Requirements

- 4.1. Public Inspection:** Describe the steps taken by the state to disseminate this State Plan to the public for review and comments prior to the public hearing, as required under Section 676(e)(2) of the Act. **[Narrative, 2500 Characters]**

The State placed a notice in the May 25, 2018 edition of the Maryland Register announcing the June 28, 2018 public hearing. Additionally, the Department provided a link to the draft State Plan on the Department's website in the June 22 issue of the Maryland Register, officially starting the 30-day public comment period.

- 4.2. Public Notice/Hearing:** Describe how the state ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under 676(a)(2)(B) of the CSBG Act. **[Narrative, 2500 Characters]**

The Department placed a notice in the May 25, 2018 edition of the Maryland Register announcing the June 28, 2018 public hearing. Eligible entities were also notified of the hearing date at the same time. Additionally, the Department posted a link to the draft State Plan in the June 22 issue of the Maryland Register marking the beginning of the 30 day public comment period. The State also provided a link to the draft State Plan to all eligible entities and encouraged the distribution of the draft State Plan to their network.

- 4.3. Public and Legislative Hearings:** In the table below, specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act.

**Instructional Note: A public hearing is required for each new submission of the State Plan.** The date(s) for the public hearing(s) must have occurred in the year prior to the first federal fiscal year covered by this plan. Legislative hearings are held at least every three years, and must have occurred within the last three years prior to the first federal fiscal year covered by this plan.

Date	Location	Type of Hearing [Select an option]	If a Combined Hearing was held confirm that the public was invited.
February 14, 2018	Maryland General Assembly - House Appropriations Committee Health and Human Resources Subcommittee	<input checked="" type="checkbox"/> Legislative	<input type="checkbox"/>
June 28, 2018	Maryland Department of Transportation, 7201 Corporate Center Drive, Hanover, Maryland	<input checked="" type="checkbox"/> Public	
ADD a ROW function Note: States will be able to add as needed for each additional hearing.			

- 4.4. Attach supporting documentation or a hyperlink for the public and legislative hearings.  
[Attach supporting documentation or provide a hyperlink(s), 500 characters] **To be attached.**

DRAFT

## Section 5

### CSBG Eligible Entities

**5.1. CSBG Eligible Entities:** In the table below, indicate whether eligible entity in the state public or private, the type(s) of entity, and the geographical area served by the entity.

CSBG Eligible Entity	Geographical Area Served (by county) (Provide all counties)	Public or Nonprofit	Type of Entity (Choose all that apply)
Allegany County Human Resource Development Commission, Inc.	Allegany County	Nonprofit	Community Action Agency (CAA)
Anne Arundel County Community Action Agency	Anne Arundel County	Nonprofit	Community Action Agency (CAA)
Mayor's Office of Human Services - City of Baltimore	Baltimore City	Public	Community Action Agency (CAA)
Community Assistance Network, Inc.	Baltimore County	Nonprofit	Community Action Agency (CAA)
Community Action Council of Howard County, Inc.	Howard County	Nonprofit	Community Action Agency (CAA)
Garrett County Community Action Committee, Inc.	Garrett County	Nonprofit	Community Action Agency (CAA)
Delmarva Community Services, Inc.	Dorchester County	Nonprofit	Community Action Agency (CAA)
Harford Community Action Agency, Inc.	Harford County	Nonprofit	Community Action Agency (CAA)
Human Services Program of Carroll County, Inc.	Carroll County	Nonprofit	Community Action Agency (CAA)
Maryland Rural Development Corporation	Cecil, Kent, Caroline, Queen Anne's Counties	Nonprofit	Community Action Agency (CAA)
Montgomery County Community Agency, Inc.	Montgomery County	Public	Community Action Agency (CAA)
Neighborhood Service Center, Inc.	Talbot County	Nonprofit	Community Action Agency (CAA)
Shore UPI, Inc.	Kent, Talbot, Somerset, Wicomico, Worcester Counties	Nonprofit	Community Action Agency (CAA)
Southern Maryland Tri-County CAC, Inc.	Calvert, Charles and St. Mary's Counties	Nonprofit	Community Action Agency (CAA)
Frederick Community Action Agency, Inc.	City of Frederick	Public	Community Action Agency (CAA)
United Communities Against Poverty, Inc.	Prince George's County	Nonprofit	Community Action Agency (CAA)
Washington County Community Action Committee, Inc.	Washington County	Nonprofit	Community Action Agency (CAA)

**Note:** Table 5.1. pre-populates the Annual Report, Module 1, Table C.1.

**5.2. Total number of CSBG eligible entities:** 17 **[This will automatically update based on Table 5.1.]**

**5.3. Changes to Eligible Entities List:** Within the tables below, describe any changes that have occurred to the Eligible Entities within the state since the last federal fiscal Year (FFY), as applicable.

One or more of the following changes were made to the eligible entity list: **[Check all that apply]**.

- ☐ Designation and/or Re-Designation
- ☐ De-designations and/or Voluntary Relinquishments
- ☐ Mergers
- ☒ No Changes to Eligible Entities List

**5.3a. Designation and Re-Designation:** Identify any new entities that have been designated as eligible entities, as defined under Section 676A of the Act, since the last federal fiscal year. Include any eligible entities designated to serve an area previously not served by CSBG as well as any entities designated to replace another eligible entity that was terminated (de-designated).

CSBG Eligible Entity	Type	Start Date	Geographical Area Served
[Narrative, 150 characters]	[Dropdown: <ul style="list-style-type: none"> <li>Designation</li> <li>Re-Designation]</li></ul>	[Date Picker]	[Narrative, 550 characters]
ADD-A-ROW FUNCTION. Note: States will be able to add a row as needed.			

**5.3b. De-Designations and Voluntary Relinquishments:** Identify any entities that are no longer receiving CSBG funding. Include any eligible entities have been terminated (de-designated) as defined under Section 676(c) and Section 676C of the Act, or voluntarily relinquished their CSBG eligible entity status since the last federal fiscal year.

CSBG Eligible Entity	Reason
[Narrative, 150 characters]	[Dropdown: <ul style="list-style-type: none"> <li>Termination/De-designation</li> <li>Voluntary Relinquished]</li></ul>
ADD-A-ROW FUNCTION. Note: States will be able to add a row as needed.	

**5.3c. Mergers:** In the table below, provide information about any mergers or other combinations of two or more eligible entities that were each listed in the prior year state plan.

Original CSBG Eligible Entities	Surviving CSBG Eligible Entity	New Name (as applicable)	DUNS No.
[Narrative, 500 characters]	[Narrative, 150 characters]	[Narrative, 150 characters]	[Narrative, 150 characters]
List and number all entities involved.			
ADD-A-ROW FUNCTION. Note: States will be able to add a row as needed.			

## Section 6

### Organizational Standards for Eligible Entities

**Note:** Reference IM 138, *State Establishment of Organizational Standards for CSBG Eligible Entities*, for more information on Organizational Standards. Click [HERE](#) for IM 138.

- 6.1. Choice of Standards:** Confirm whether the state will implement the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138) or an alternative set during the federal fiscal year(s) of this planning period. **[Select one]**

☒ **COE CSBG Organizational Standards**

- ☐ Modified version of COE CSBG Organizational Standards
- ☐ Alternative set of organizational standards

**Note:** Item 6.1. pre-populates the Annual Report, Module 1, Item D.1.

- 6.1a. Modified Organizational Standards:** In the case that the state is requesting to use modified COE-developed organizational standards, provide the proposed modification for the FFY of this planning period including the rationale.  
**[Narrative, 2500 characters]**

- 6.1b. Alternative Organizational Standards:** If using an alternative set of organizational standards, attach the complete list of alternative organizational standards. **[Attachment (as applicable)]**

- 6.1 c. Alternative Organizational Standards:** If using an alternative set of organizational standards: 1) provide any changes from the last set provided during the previous State Plan submission; 2) describe the reasons for using alternative standards; and 3) describe how they are at least as rigorous as the COE- developed standards.

☐ There were no changes from the previous State Plan submission **[Narrative, 2500 characters if not selected]**

Provide reason for using alternative standards **[Narrative, 2500 characters]**

Describe rigor compared to COE-developed Standards **[Narrative, 2500 characters]**

- 6.2. Implementation:** Check the box that best describes how the state officially adopted organizational standards for eligible entities in the state in a manner consistent with the state's administrative procedures act. If "Other" is selected, provide a timeline and additional information, as necessary. **[Check all that applies and narrative (as applicable)]**

- ☐ Regulation
- ☒ **Policy**
- ☒ **Contracts with eligible entities**
- ☐ Other, describe: **[Narrative, 5000 characters]**

**6.3. Organizational Standards Assessment:** Describe how the state will assess eligible entities against organizational standards this federal fiscal year(s). **[Check all that apply]**

- ☐ Peer-to-peer review (with validation by the state or state-authorized third party)
- ☒ Self-assessment (with validation by the state or state-authorized third party)
- ☐ Self-assessment/peer review with state risk analysis
- ☐ State-authorized third party validation
- ☒ Regular, on-site CSBG monitoring
- ☐ Other

**6.3a. Assessment Process:** Describe the planned assessment process. **[Narrative, 5000 characters]**

Self-assessments from all 17 eligible entities are due at the end of December each year and are reviewed by State staff. An overview of trends is presented annually to Directors of eligible entities at the annual State Association conference in May. Additionally, State monitoring staff review supporting documentation during desk reviews and on-site monitoring.

**6.4. Eligible Entity Exemptions:** Will the state make exceptions in applying the organizational standards for certain eligible entities due to special circumstances or organizational characteristics (as described in IM 138)? ○ Yes ☒ No

**6.4a.** Provide the specific eligible entities the state will exempt from meeting organizational standards, and provide a description and a justification for each exemption. Total Number of Exempt Entities: **[Auto – calculated]**

CSBG Eligible Entity	Exemption Provided	Description/Justification
[Narrative, 150 characters]	[Select Yes or No]	[If Yes is selected, provide a narrative, 2500 characters]

**ADD a ROW function** Note: Rows will be able to be added for each additional exception.

**6.5. Performance Target:** Provide the percentage of eligible entities that the state expects to meet all the state-adopted organizational standards for the FFY(s) of this planning period. **[Insert a percentage]** **Year One 90%\_Year Two 95%\_\_**

**Note:** Item 6.5. is associated with State Accountability Measures 6Sa and pre-populate the Annual Report, Module 1, Table D.2.

## SECTION 7 State Use of Funds

### Eligible Entity Allocation (90 Percent Funds) [Section 675C(a) of the CSBG Act]

**7.1. Formula:** Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities. **[Check one and narrative where applicable]**

- ☐ Historic
- ☒ Base + Formula
- ☐ Formula Alone
- ☐ Formula with Variables
- ☐ Hold Harmless + Formula
- ☐ Other

**7.1a. Formula Description:** Describe the current practice for allocating CSBG funds to eligible entities. **[Narrative, 5000 characters]** The formula establishes a hold harmless using **Using FY1994 allocations in comparison to FY2014 allocations, award levels are adjusted using poverty, unemployment, and rural factors.**

**7.1b. Statute:** Does a state statutory or regulatory authority specify the formula for allocating “not less than 90 percent” funds among eligible entities? ☐ Yes ☒ No

**7.2. Planned Allocation:** Specify the percentage of your CSBG planned allocation that will be funded to eligible entities and “not less than 90 percent funds” as described under Section 675C(a) of the CSBG Act. In the table, provide the planned allocation for each eligible entity receiving funds for the fiscal year(s) covered by this plan.

**Year One 90% Year Two 90%**

Planned CSBG 90 Percent Funds – Year One	
CSBG Eligible Entity	Funding Amount
Allegany County Human Resource Development Commission, Inc.	\$293,882
Anne Arundel County Community Action Agency	\$444,370
Mayor's Office of Human Services - City of Baltimore	\$2,466,148
Community Assistance Network, Inc.	\$727,671
Community Action Council of Howard County, Inc.	\$233,404
Garrett County Community Action Committee, Inc.	\$296,005
Delmarva Community Services, Inc.	\$328,243
Harford Community Action Agency, Inc.	\$301,565
Human Services Program of Carroll County, Inc.	\$263,804
Maryland Rural Development Corporation	\$316,189

Montgomery County Community Agency, Inc.	\$619,702
Neighborhood Service Center, Inc.	\$291,120
Shore UP!, Inc.	\$507,809
Southern Maryland Tri-County CAC, Inc.	\$404,197
Frederick Community Action Agency, Inc.	\$264,826
United Communities Against Poverty, Inc.	\$736,668
Washington County Community Action Committee, Inc.	\$303,163

Planned CSBG 90 Percent Funds – Year Two	
CSBG Eligible Entity	Funding Amount
Allegany County Human Resource Development Commission, Inc.	\$293,882
Anne Arundel County Community Action Agency	\$444,370
Mayor's Office of Human Services - City of Baltimore	\$2,466,148
Community Assistance Network, Inc.	\$727,671
Community Action Council of Howard County, Inc.	\$233,404
Garrett County Community Action Committee, Inc.	\$296,005
Delmarva Community Services, Inc.	\$328,243
Harford Community Action Agency, Inc.	\$301,565
Human Services Program of Carroll County, Inc.	\$263,804
Maryland Rural Development Corporation	\$316,189
Montgomery County Community Agency, Inc.	\$619,702
Neighborhood Service Center, Inc.	\$291,120
Shore UP!, Inc.	\$507,809
Southern Maryland Tri-County CAC, Inc.	\$404,197
Frederick Community Action Agency, Inc.	\$264,826
United Communities Against Poverty, Inc.	\$736,668
Washington County Community Action Committee, Inc.	\$303,163

**Note:** This information pre-populates the state's Annual Report, Module 1, Table E.2.



- 7.3. Distribution Process:** Describe the specific steps in the state's process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about state legislative approval or other types of administrative approval (such as approval by a board or commission). **[Narrative, 5000 characters]** Step 1: Upon receipt of the Notice of Grant Award letter from HHS, State program staff notifies appropriate Department financial staff that disbursements will be processed under this notice. (Duration: 1 Day.) Step 2: Based on the formula allocation, State program staff determine the allocation of the 90% CSBG funds for each eligible entity from the CSBG award. State program staff prepares notices of payment for each eligible entity, which are submitted to the CSBG Director for review and approval. State program staff notifies each eligible entity about the payment and the amount to be disbursed. (Duration: 3-5 days.) Step 3: The CSBG Director submits the notice of payment to the Grants Manager, who in turn posts, reviews, records, and processes each request. At this point, the request for payment is forwarded to the DHCD Finance Department for further processing. (Duration: 1-2 days.) Step 4: The Finance Department reviews payment requests, confirming available funds. The Finance Department then submits the requests to DHCD Accounting Department for further processing. The Accounting Department posts the payment to a State financial tracking system. (Duration: 5 days.) Step 5: Once posted, the Accounting Department submits the payment authorization to the State Comptroller's Office. The Comptroller's Office reviews and finalizes the payment request. Once the payments are finalized and posted, payments are wire transferred to the eligible entity. (Duration: 10 days.)
- 7.4. Distribution Timeframe:** Does the state plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the federal award? ☒ Yes ☐ No
- 7.4a. Distribution Consistency:** If no, describe state procedures to ensure funds are made available to eligible entities consistently and without interruption.  
**[Narrative, 5000 Characters]**
- Note:** Item 7.4 is associated with State Accountability Measure 2Sa and may pre-populate the state's annual report form.
- 7.5. Performance Management Adjustment:** Describe the state's strategy for improving grant and/or contract administration procedures under this State Plan as compared to past plans. Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any improvements, provide further detail.  
**[Narrative, 5000 Characters]** While the State makes every effort to process payment requests according to the schedule in 7.3, we know that delays can occur and are sometimes outside of our control. However, the State program staff has begun a dialogue with our Finance Department to identify areas of improvement or efficiency. We are also reviewing our internal processes so there are minimal delays in forwarding payment requests to the Finance Department. We also continually monitor the grant agreement process to identify any areas of delay that occur within the State. Similar to the payment process, we look for areas of improvement to the process.

**Note:** This information is associated with State Accountability Measure 2Sb and may pre-populate the state's annual report form.

**Administrative Funds** [Section 675C(b)(2) of the CSBG Act]

- 7.6. Allocated Funds:** Specify the percentage of your CSBG planned allocation for administrative activities for the FFY(s) covered by this State Plan.

Year One 5% Year Two 5% [Numeric response, specify %] **Note:** This information pre-populates the state's Annual Report, Module 1, Table E.4.

- 7.7. State Staff:** Provide the number of state staff positions to be funded in whole or in part with CSBG funds for the FFY(s) covered by this State Plan.

Year One 8 Year Two 8 [Numeric response, 0.00 – 99.99]

- 7.8. State FTEs:** Provide the number of state Full Time Equivalents (FTEs) to be funded with CSBG funds for the FFY(s) covered by this State Plan?

Year One 3.45% Year Two 3.45% [Numeric response, 0.00 –

**99.99] Use of Remainder/Discretionary Funds** [Section 675C(b) of the CSBG Act]

- 7.9. Remainder/Discretionary Funds Use:** Does the state have remainder/discretionary funds, as described in Section 675C(b) of the CSBG Act? ☒ Yes ☐ No

If yes, provide the allocated percentage and describe the use of the remainder/discretionary funds in the table below. Year One 5% Year Two 5%

**Note:** This response will link to the corresponding assurance, Item 14.2.

**Note:** This information is associated with State Accountability Measures 3Sa and pre-populates the Annual Report, Module 1, Table E.7.

Use of Remainder/Discretionary Funds – Year One		
Remainder/Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Planned \$	Brief Description of Services and/or Activities
7.9a. Training/technical assistance to eligible entities	\$13,820	The State Lead Agency will use these funds to support training and technical assistance activities targeted at Eligible Entities. Topics may include board governance; fiscal management; Organization Standards; and capacity building.
7.9b. Coordination of State-operated programs and/or local programs	\$75,000	
7.9c. Statewide coordination and communication among eligible entities		These funds support the Maryland Community Action Partnership, the State Association.
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need		
7.9e. Asset-building programs		These funds support activities aimed at establishing and increasing savings of low-income households. Examples of activities funded through this category include Volunteer

		Income Tax Assistance (VITA), budget counseling, reducing unbanked or underbanked populations, and access to benefits.
7.9f. Innovation programs/activities by eligible entities or other neighborhood group	\$150,000	These funds support projects that result in the alleviation of poverty, including jobs initiatives, outreach programs, homelessness alleviation, and other targeted projects or populations.
7.9g. State charity tax credits		
7.9h. Other activities [Specify under Column 4]	\$100,000	These funds would be available to Eligible Entities to support activities that specifically address documented gaps in services to low-income households.
<b>Totals</b>	<b>\$488,820</b>	

<b>Use of Remainder/Discretionary Funds – Year Two</b>		
<b>Remainder/Discretionary Fund Uses</b> (See 675C(b)(1) of the CSBG Act)	<b>Planned \$</b>	<b>Brief Description of Services and/or Activities</b>
7.9a. Training/technical assistance to eligible entities	\$13,820	The State Lead Agency will use these funds to support training and technical assistance activities targeted at Eligible Entities. Topics may include board governance; fiscal management; Organization Standards; and capacity building.
7.9b. Coordination of State-operated programs and/or local programs		
7.9c. Statewide coordination and communication among eligible entities		These funds support the Maryland Community Action Partnership, the State Association.
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$75,000	
7.9e. Asset-building programs	150,000	These funds support activities aimed at establishing and increasing savings of low-income households. Examples of activities funded through this category include Volunteer Income Tax Assistance (VITA), budget counseling, reducing unbanked or underbanked populations, and access to benefits.
7.9f. Innovation programs/activities by eligible entities or other neighborhood group	\$150,000	These funds support projects that result in the alleviation of poverty, including jobs initiatives, outreach programs, homelessness alleviation, and other targeted projects or populations.

7.9g. State charity tax credits		
7.9h. Other activities [Specify under Column 4]	\$100,000	These funds would be available to Eligible Entities to support activities that specifically address documented gaps in services to low-income households.
Totals	\$488,820	

**7.10. Remainder/Discretionary Funds Partnerships:** Select the types of organizations, if any, the state plans to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in Table 7.9. **[Check all that apply and narrative where applicable]**

- ☐ The state directly carries out all activities (No Partnerships)
- ☐ The state does not have remainder/discretionary funds
  - ☒ The state partially carries out some activities
  - ☒ CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) **[Numeric response, 0 – 100] 10-12**
  - ☒ Other community-based organizations
  - ☒ State Community Action association
  - ☐ Regional CSBG technical assistance provider(s)
  - ☐ X National technical assistance provider(s)
  - ☐ Individual consultant(s)
  - ☐ Tribes and Tribal Organizations
  - ☐ Other **[Narrative, 2500 characters]**

**Note:** This response will link to the corresponding CSBG assurance in Item 14.2.

**7.11. Performance Management Adjustment:** Describe any adjustments the state will make to the use of remainder/discretionary funds under this State Plan as compared to past plans? Any adjustment should be based on the state’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

**[Narrative, 5000 Characters]** After consultation with eligible entities and the State Association, the State has made two significant changes to the distribution of remainder/discretionary funds. The first is that a specific set-aside has been established to fund the work of the State Association. A proposal and budget is still required and must be approved by the State, but eligible entities expressed concern with competing against the State Association, so this change was implemented. Second, the State has clarified what we mean by “Innovative Programs/Activities” and have selected the Fund Use category of “Other” to provide available funding for which eligible entities may apply to support efforts to address specific, documented gaps in services.

**Note:** This information is associated with State Accountability Measures 3Sb, and may pre-populate the state’s annual report form.

## SECTION 8

### State Training and Technical Assistance

- 8.1. Training and Technical Assistance Plan:** Describe the state's plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic. (CSBG funding used for this activity is referenced under item 7.9a., Use of Remainder/Discretionary Funds.)

**Note:** This information is associated with State Accountability Measure 3Sc and pre-populates the Annual Report, Module 1, Table F.1.

Training & Technical Assistance - Year One			
Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
FY1 Q1	Technical Assistance	Community Assessment	
FY1 Q1	Technical Assistance	Monitoring T/A	
FY1 Q2	Technical Assistance	ROMA	
FY1 Q2	Both	Annual Report	State's Annual Meeting
FY1 Q3	Technical Assistance	Organizational Standards - General T/A	
FY1 Q3	Training		Human Resources training for finding qualified candidates
FFY Q4	Both	Strategic Planning	

Training & Technical Assistance - Year Two			
Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
FY2 Q1	Training	Technology	
FY2 Q1	Technical Assistance	Monitoring T/A	
FY2 Q2	Technical Assistance	ROMA	
FY2 Q2	Training		State's Annual Meeting
FFY Q3	Technical Assistance	Organizational Standards - General T/A	
	Training		
FFY Q4	Both	Strategic Planning	

- 8.1 a. Training and Technical Assistance Budget:** The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9):

Year One \$13,820      Year Two \$13,820

[Prepopulated with the budget allocation for years one and two under 7.9a]

- 8.1b. Training and Technical Assistance Collaboration:** **Describe how the state will collaborate with the State Association and other stakeholders in the planning and delivery of training and technical assistance. [Narrative, 2500 characters]**

The State Lead agency continues to strengthen the relationship with the State Association by partnering in the area of training and technical assistance. Each year, the State Association surveys their membership to determine the needs of agencies. In conjunction with issues identified by the State during monitoring visits, the State and State Association will develop an annual plan for training and technical assistance and the parties responsible for the T and TA. For some topics, the State will take the lead; in others, the State Association will. For certain topics, the State and State Association will conduct joint trainings. Furthermore, the State Association invites the State to participate in round table discussions, depending on the topic. The State Association also reserves workshop slots at its annual conference so the State has the opportunity to present on issues related to the administration of CSBG.

- 8.2. TAPs and QIPs:** Does the state have Technical Assistance Plans (TAPs) and/or Quality Improvement Plans (QIPs) in place for all eligible entities with unmet organizational standards, if appropriate? **[Select one]**      ☐ Yes      ☒ No

**Note:** 8.2 is associated with State Accountability Measure 6Sb. QIPs are described in Section 678C(a)(4) of the CSBG Act. If the state, according to their corrective action procedures, does not plan to put a QIP in place for an eligible entity with one or more unmet organizational standards, the state should put a TAP in place to support the entity in meeting the standard(s).

- 8.2a. Address Unmet Organizational Standards:** Describe the state's plan to provide T/TA to eligible entities to ensure they address unmet Organizational Standards. **[Narrative, 2500 characters]**

Per IM-138, issued January 26, 2015, State CSBG Offices are to assess each eligible entity annually on the Organizational Standards as set forth in the State's policies and regulations. To meet this requirement, the State Lead Agency requires an annual self-assessment and conducts on-site monitoring visits. When deficiencies are identified through either method, the State notifies the eligible entity in writing, allowing a 30-day period in which to cure the finding. Where appropriate, the State may offer informal guidance in meeting the Standard or Standards currently unmet. In some cases, an eligible entity may provide a timeline for meeting the Standard(s), which will be verified by the State at a later date. In other cases, the State will create a Technical Assistance Plan (TAP) and may provide technical assistance either by telephone or on-site. A TAP will include the expected outcome and a timeline for completion. If trends are identified, the State will notify the State Association and recommend conducting trainings for the entire Network, either on their own or collaboratively with the Department.

**8.3. Training and Technical Assistance Organizations:** Indicate the types of organizations through which the state plans to provide training and/or technical assistance as described in Item 8.1, and briefly describe their involvement. (Check all that apply.)  
**[Check all that applies and narrative where applicable]**

- ☐ CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds) **[Numeric response, 0 – 100]**
- ☐ Other community-based organizations
- ☒ **State Community Action Association**
- ☐ Regional CSBG technical assistance provider(s)
- ☒ **National technical assistance provider(s)**
- ☐ Individual consultant(s)
- ☐ Tribes and Tribal Organizations
- ☐ Other **[Narrative, 1000 characters]**

**8.4. Performance Management Adjustment:** Describe adjustments the state made to the training and technical assistance plan under this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail. **[Narrative, 2500 Characters]** **The State Lead Agency has focused on increasing its capacity to provide training and technical assistance to eligible entities. Furthermore, the State has strengthened its relationship with the State Association, working together in identifying areas of collaboration to provide T and TA. Both of these actions will result in the ability to provide relevant and quality training and technical assistance to all eligible entities.**

**Note:** This information is associated with State Accountability Measures 3Sd and may pre-populate the state's annual report form.



## SECTION 9

### State Linkages and Communication

**Note:** This section describes activities that the state may support with CSBG remainder/discretionary funds, described under Section 675C(b)(1) of the CSBG Act. The state may indicate planned use of remainder/discretionary funds for linkage/communication activities in Section 7, State Use of Funds, items 7.9(b) and (c).

- 9.1. State Linkages and Coordination at the State Level:** Describe the linkages and coordination at the state level that the state intends to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Describe additional information as needed. **[Check all that apply from the list below and provide a Narrative, 5000 Characters]**

**Note:** This response will link to the corresponding CSBG assurance, Item 14.5. In addition, this information is associated with State Accountability Measure 7Sa and pre-populates the Annual Report, Module 1, Item G.1.

- ☒ State Low Income Home Energy Assistance Program (LIHEAP) office
- ☒ State Weatherization office
- ☒ State Temporary Assistance for Needy Families (TANF) office
- ☒ State Head Start office
- ☐ State public health office
- ☒ State education department
- ☒ State Workforce Innovation and Opportunity Act (WIOA) agency
- ☐ State budget office
- ☒ Supplemental Nutrition Assistance Program (SNAP)
- ☒ State child welfare office
- ☒ State housing office
- ☒ Other –Governor’s Office on Children

- 9.2. State Linkages and Coordination at the Local Level:** Describe the linkages and coordination at the local level that the state intends to create or maintain with governmental and other social services, especially antipoverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by assurances under Section 676(b)(5) – (6)). **[Narrative, 5000 Characters]**

**Note:** This response will link to the corresponding CSBG assurances, Items 14.5 and 14.6, and pre-populates the Annual Report, Module 1, Item G.2.

Both the State and the Eligible Entities work with a wide range of state, local, and regional entities to more effectively provide services to low-income households. These linkages include but are not limited to local county and municipal offices, local businesses, local Departments of Social Services (often affiliated with the Maryland Department of Human Services), and local and regional associations.



### 9.3. Eligible Entity Linkages and Coordination

**9.3a. State Assurance of Eligible Entity Linkages and Coordination:** Describe how the state will assure that eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)). **[Narrative, 5000 Characters]**

**Note:** This response will link to the corresponding CSBG assurance, Item 14.5. and pre-populates the Annual Report, Module 1, Item G.3a.

The State Lead Agency strongly encourages the adoption of the Two Generation Approach of service delivery. This holistic approach to services works best when eligible entities create strong partnerships with other providers in the community. This creates a “no wrong door” access to services, and avoids duplication of services. At this time, at least five (5) eligible entities have adopted or partially adopted Two Generation, with others actively exploring the model. The State will explore opportunities to provide training and technical assistance to strengthen existing programs and develop new ones. For eligible entities who have not adopted or do not plan to adopt Two Generation, during monitoring visits the State examines relationships the eligible entity has with local providers and encourages collaboration and reduction of any overlap of services.

**9.3b. State Assurance of Eligible Entity Linkages to Fill Service Gaps:** Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act. **[Narrative, 5000 Characters]**

**Note:** This response will link to the corresponding CSBG assurance, Item 14.3b. and pre-populates the Annual Report, Module 1, Item G.3b.

As indicated in 9.3a, the State strongly encourages and supports the adoption of the Two Generation Approach, which fills service gaps through collaboration and partnership with other service providers in the community. The State also looks closely at the services that eligible entities provide and how they fill the gaps in services with partnerships with other service providers. The State has also set aside \$100,000 in competitive Discretionary funds to support eligible entities with resources to fill gaps in services identified by the eligible entity.

### 9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training

**Activities:** Does the state intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)?

☒ Yes ☐ No

**Note:** This response will link to the corresponding CSBG assurance, Item 14.5.

**9.4a. WIOA Combined Plan:** If the state selected yes under Item 9.4, provide the CSBG-specific information included in the state's WIOA Combined Plan. This information includes a description of how the state and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy. **[Narrative, 5000 Characters]**

While the Community Services Block Grant (CSBG) is a new addition to Maryland's 2018 State Workforce Plan, the Maryland Department of Housing and Community Development (DHCD) and their local grantees in the State's community action agencies have been partners in the State Workforce System for some time. For instance, the State's 17 Community Action Agencies (CAAs) have worked with DLLR to provide employment opportunities for returning citizens. Recognizing both agencies' common customer, the State's CAAs have been instrumental in referring clients to local workforce areas for training. Agencies have entered into memoranda of understanding with local area WIOA partners and have built relationships with DORS to enhance access to vocational rehabilitation services.

Community Action Agencies in Maryland have also led innovations in 2Gen service delivery. Specifically, Garrett County Community Action Committee, Inc. and the Allegany County Human Resources Development Commission have been recognized as national leaders in 2Gen. At the state level, representatives of DHCD, the lead CSBG State Agency, and the Maryland Community Action Partnership, Maryland's CAA State Association, sit on Governor Hogan's Two Generation Family Economic Security Commission. As a combined plan partner, DHCD will be included on the State's WIOA Alignment Group.

With inclusion into the State Workforce Plan, Maryland's WIOA partners will continue to find ways to more systematically integrate the state's CAAs in local workforce services delivery. All local workforce areas will be required to address how they will work with these entities in a more systematic way in local plan formulation and through the execution of WIOA compliant memoranda of understanding and resource sharing agreements.

As a part of a community antipoverty strategy, the State's Community Action Agencies have conducted a number of innovative employment training activities:

- A new Adult Literacy Program is being developed for adults who cannot read or write utilizing the Laubach Reading System. Through this system

- volunteers will work one-on-one with participating adults.
- A CAA is providing training scholarships for skills training in occupations that are in high demand in respective jurisdictions.
- Adult literacy activities will take place with the parents of Agency's Department of Children and Family Services throughout the year through Parent Meetings and Socializations.
- In rural areas where transportation problems exist, CAAs refurbish used vehicles and provide the same to customers upon the completion of agreed upon goals.
- A CAA established a partnership with the Hyatt of the Chesapeake Bay. Employment staff and job developers work with Hyatt employees in collaborative training experiences. Participants are offered job training by Hyatt employees in many departments and are supported by a job developer or Job coach through the experience.
- A CAA provides Commercial Driver's License (CDL) training as possession of the Class B license can lead to higher earnings and advanced career opportunities. The training is offered in the evening which allows working adults to receive training.
- A CAA also established a Student Intern Program that provides students with opportunities for training and employment. Area undergraduate and graduate students are selected and provided with a rich employment experience. Stipends and scholarships are made available to assist with the high cost of higher education and reduce the financial need for student loans.

**9.4b. Employment and Training Activities:** If the state selected no under Item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the state and by eligible entities providing activities through the WIOA system. **[Narrative, 5000 Characters]**

**9.5. Emergency Energy Crisis Intervention:** Describe how the State will assure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the State, as required by the assurance under Section 676(b)(6) of the CSBG Act). **[Narrative, 5000 Characters]**

**Note:** This response will link to the corresponding CSBG assurance, Item 14.6.

The Maryland Department of Human Services (DHS) through the Office of Home Energy Programs (OHEP) is responsible for administering the Low-Income Home Energy Assistance Program in the State of Maryland. DHS contracts with public and non-profit organizations to administer federal energy assistance benefits to low-income households. In Maryland, half of the local energy assistance offices are housed within eligible entities. Eligible entities have established partnerships in jurisdictions where they are not the local energy program office. The State Lead Agency also works with DHS to educate eligible entities as needed on statewide changes and developments related to OHEP policies and programs.

- 9.6. Faith-based Organizations, Charitable Groups, Community Organizations:** Describe how the state will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the state's assurance under Section 676(b)(9) of the CSBG Act. **[Narrative, 5000 characters]**

Through training and technical assistance, the State will continue to encourage and assure, to the maximum extent possible, that Eligible Entities will coordinate and form partnerships with other organizations that serve low-income populations, including faith-based organizations, charitable groups, and community organizations.

Note: this response will link to the corresponding assurance, Item 14.9

- 9.7. Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:** Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act. **[Narrative, 5000 Characters]**

The State requires that all eligible entities in their annual CSBG Application (CAP Plan) identify all public and private resources that are leveraged by the 90% CSBG funding.

**Note:** This response will link to the corresponding assurance, Item 14.3c.

- 9.8. Coordination among Eligible Entities and State Community Action Association:** Describe state activities for supporting coordination among the eligible entities and the State Community Action Association. **[Narrative, 5000 Characters]**

**Note:** This information will pre-populate the Annual Report, Module 1, Item G.5.

The State Lead Agency strongly encourages all eligible entities to participate in the State Association. The State also sets aside a portion of discretionary funds to support the State Association's statewide coordination and communication with all 17 eligible entities. Additionally, the State sponsors and actively participates in the State Association's annual conference, and attends all State Association board meetings. The State Lead agency and the State Association participate in all RPIC meetings and conference calls.

- 9.9. Communication with Eligible Entities and the State Community Action Association:** In the table below, detail how the state intends to communicate with eligible entities, the State Community Action Association, and other partners identified under this State Plan on the topics listed below.

For any topic that is not applicable, select *Not Applicable* under Expected Frequency.

Communication Plan			
Subject Matter	Expected Frequency	Format	Brief Description of "Other"
Upcoming Public and/or Legislative Hearings	Annually	Email, Meetings/Presentations	

Updates	Monthly	Email, Meetings/Presentations	
Funding Disbursements	Other	Email, Meetings/Presentations	Per notification by OCS
Community Needs Assessments/Community Action Plans	Annually	Email, Meetings/Presentations	
State Monitoring Plans and Policies	Other	Email, Meetings/Presentations, webinar	When policies are updated or during annual training conferences
ROMA and Performance Management	Other	Email, Meetings/Presentations	As needed
Tripartite Board Requirements	Quarterly	Email, Meetings/Presentations, webinar	

**9.10. Feedback to Eligible Entities and State Community Action Association:** Describe how the state will provide information to local entities and State Community Action Associations regarding performance on State Accountability Measures. **[Narrative, 5000 Characters]**

**Note:** This information is associated with State Accountability Measure 5S(iii) and will pre-populate the Annual Report, Module 1, Item G.6.

The State Lead agency will provide feedback on State Accountability Measures through multiple venues, including State Association board meetings; the annual CSBG Director's meeting; and the State association Annual conference.

**Performance Management Adjustment:** Describe any adjustments the state made to the Communication Plan in this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail. **[Narrative, 5000 Characters]**

**Note:** This information is associated with State Accountability Measures 7Sb; this response may pre-populate the state's annual report form.

The State has identified the need to increase communication with eligible entities as a priority for the FY2019-2020 period. In that time, the State will explore different methods of increasing communication, possibly through a periodic newsletter, formal Information Memoranda, or webinars. The State will continue to issue timely updates on important developments, including IMs issued by OCS, funding allocations, and policy decisions.

## SECTION 10

### Monitoring, Corrective Action, and Fiscal Controls

#### Monitoring of Eligible Entities (Section 678B(a) of the CSBG Act)

- 10.1.** Specify the proposed schedule for planned monitoring visits including: full on-site reviews; on- site reviews of newly designated entities; follow-up reviews – including return visits to entities that failed to meet state goals, standards, and requirements; and other reviews as appropriate.

This is an estimated schedule to assist states in planning. States may indicate “no review” for entities the state does not plan to monitor in the performance period.

**Note:** This information is associated with State Accountability Measure 4Sa(i); this response pre-populates the Annual Report, Module 1, Table H.1.

Monitoring Schedule - Year One					
CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review
Allegany County Human Resource Development Commission, Inc.	No review	Desk Review		6/6/2017	6/6/2017
Anne Arundel County Community Action Agency, Inc.	No review	Desk Review		6/5/2017	6/5/2017
Mayor's Office of Human - City of Baltimore	No review	Desk Review		5/19/2017	5/19/2017
Community Assistance Network, Inc.	No review	Desk Review		6/22/2017	6/22/2017
Community Action Council of Howard County, Maryland Inc.	No review	Desk Review		9/29/2016	9/29/2017
Delmarva Community Services, Inc. No review Select 10/01/2016 09/30/2017	No review	Desk Review		6/15/2018	6/15/2017
Garrett County Community Action Committee, Inc.	No review	Desk Review		8/10/2015	8/10/2017
Human Services Programs of Carroll County, Inc.	No review	Desk Review		7/18/2017	7/18/2017
Maryland Rural Development Corporation	Full onsite	Onsite Review	Q1	10/6/2016	10/6/2016



Montgomery County Community Agency, Inc.	Full onsite	Onsite Review	Q2	11/3/2016	11/13/2016
Neighborhood Service Center, Inc.	No review	Desk Review		9/29/2017	9/29/2017
Shore UP!, Inc.	Full onsite	Onsite Review	Q3	9/13/2016	9/13/2016
Southern Maryland Tri-County CEC, Inc.	Full onsite	Onsite Review	Q4	10/20/2016	10/20/2016
Frederick Community Action Agency	No review	Desk Review		3/10/2015	3/10/2015
United Communities Against Poverty, Inc.	No review	Desk Review		11/9/2017	11/9/2017
Harford Community Action Agency, Inc.	No review	Desk Review		11/1/2015	11/1/2015
Washington County Community Action Agency, Inc.	Full onsite	Onsite Review	Q4	4/21/2016	4/21/2016

Monitoring Schedule - Year Two					
CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review
Allegany County Human Resource Development Commission, Inc.	No review	Desk Review		8/22/2018	8/22/2018
Anne Arundel County Community Action Agency, Inc.	No review	Desk Review		11/5/2018	11/5/2018
Mayor's Office of Human - City of Baltimore	Full onsite		Q2	5/19/2017	5/19/2017
Community Assistance Network, Inc.	Full onsite		Q1	6/22/2017	6/22/2017
Community Action Council of Howard County, Maryland Inc.	Full onsite		Q2	9/29/2017	9/29/2017

Delmarva Community Services, Inc.	No review	Desk Review		6/15/2018	6/15/2018
Garrett County Community Action Committee, Inc.	No review	Desk Review		8/10/2018	8/10/2018
Human Services Programs of Carroll County, Inc.	Full onsite		Q3	7/18/2017	7/18/2017
Maryland Rural Development Corporation	No review	Desk Review		10/6/2016	10/6/2016
Montgomery County Community Agency, Inc.	No review	Desk Review		11/3/2016	11/13/2016
Neighborhood Service Center, Inc.	Full onsite	Onsite Review	Q2	9/29/2017	9/29/2017
Shore UP!, Inc.	No review	Desk Review		9/13/2016	9/13/2016
Southern Maryland Tri-County CEC, Inc.	Full onsite	Onsite Review	Q4	10/20/2016	10/20/2016
Frederick Community Action Agency	No review	Desk Review		3/10/2015	3/10/2015
United Communities Against Poverty, Inc.	Full onsite	Onsite Review	Q4	11/9/2017	11/9/2017
Harford Community Action Agency, Inc.	No review	Desk Review		11/1/2015	11/1/2015
Washington County Community Action Agency, Inc.	Full onsite	Onsite Review	Q4	4/21/2016	4/21/2016

**10.2. Monitoring Policies:** Provide a copy of state monitoring policies and procedures by attaching and/or providing a hyperlink. **[Attach a document or add a link] To be attached.**

**10.3. Initial Monitoring Reports:** According to the state's procedures, by how many calendar days must the state disseminate initial monitoring reports to local entities? **[Insert a number from 1 – 100] 60**

**Note:** This item is associated with State Accountability Measure 4Sa(ii) and may pre-populate the state's annual report form.

#### **Corrective Action, Termination and Reduction of Funding and Assurance Requirements (Section 678C of the Act)**



- 10.4. Closing Findings:** Are state procedures for addressing eligible entity findings/deficiencies, and the documenting closure of findings included in the state monitoring protocols attached above? ☒ Yes ☐ No

**10.4a. Closing Findings Procedures:** If no, describe state procedures for addressing eligible entity findings/deficiencies, and the documenting closure of findings.  
[Narrative, 2500 characters]

- 10.5. Quality Improvement Plans (QIPs):** Provide the number of eligible entities currently on QIPs, if applicable. [Numeric Response, 0 – 100] 0

Note: The QIP information is associated with State Accountability Measures 4Sc.

- 10.6. Reporting of QIPs:** Describe the state's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the state approving a QIP?  
[Narrative, 5000 characters]

State Office staff will send the full monitoring report, including either the Technical Assistance Plan or Quality Improvement Plan, within 60 days of the site visit summarizing the visit findings and suggesting corrective actions the Grantee must do to correct any findings that did not meet standards or requirements. If the findings warrant, a written corrective action plan will be requested of the Grantee. Additional follow-up may be required to assure implementation of the corrective action plan. Eligible entities shall have 30 days in which to review the report and submit a response with required corrective actions and further documentation of compliance, if required by the report. State Office staff will work with the eligible entities if any findings or concerns remain unresolved. Additional training and technical assistance may be offered, and/or an additional on-site review may be conducted.

**Note:** This item is associated with State Accountability Measure 4Sa(iii)).

- 10.7. Assurance on Funding Reduction or Termination:** Does the state assure that "any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the state determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b)" per Section 676(b)(8) of the CSBG Act. ☒ Yes ☐ No

**Note:** This response will link with the corresponding assurance under item 14.8.

#### **Policies on Eligible Entity Designation, De-designation, and Re-designation**

- 10.8. Eligible Entity Designation:** Do the state CSBG statute and/or regulations provide for the designation of new eligible entities? ☒ Yes ☐ No

**10.8a. New Designation Citation:** If yes, provide the citation(s) of the law and/or regulation. [Narrative, 2500 Characters] Article 83B 12-101 (d) of the Annotated Code of Maryland "Community Action Agencies".

**10.8 b. New Designation Procedures:** If no, describe state procedures for the designation of new eligible entities and how the procedures were made available to eligible entities and the public. [Narrative, 5000 Characters]

**10.9. Eligible Entity Termination:** Do state CSBG statute and/or regulations provide for termination of eligible entities? ☒ Yes ☐ No

**10.9 a. Termination Citation:** If yes, provide the citation(s) of the law and/or regulation. [Narrative, 2500 characters] Article 83B 12-101 (d) of the Annotated Code of Maryland "Community Action Agencies".

**10.9 b. Termination Procedures:** If no, describe state procedures for termination of new eligible entities and how the procedures were made available to eligible entities and the public. [Narrative, 5000 characters]

**10.10. Eligible Entity Re-Designation:** Do the state CSBG statute and/or regulations provide for re-designation of an existing eligible entity? ☐ Yes ☒ No

**10.10 a. Re-Designation Citation:** If yes, provide the citation(s) of the law and/or regulation. [Narrative, 2500 Characters]

**10.10b. Re-Designation Procedures:** If no, describe state procedures for re-designation of existing eligible entities and how the procedures were made available to eligible entities and the public. [Narrative, 5000 Characters]

The State does not currently have a policy for – re-designation, but intends to develop a policy over the next 12 months. Upon developing the policy, the State will follow the guidelines IM#116 “– Corrective Action, Termination or Reduction of Funding.

#### Fiscal Controls and Audits and Cooperation Assurance

**10.11. Fiscal Controls and Accounting:** Describe how the state’s fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a). [Narrative, 5000 Characters]

Grant agreements between the State and an eligible entity requires the submission of a Financial Status Report (FSR) by the 15th of each month. The FSRs are reviewed to ensure adequate tracking of expenditures for each budget stated in the grant agreements. If line items are over expended, the eligible entity must request approval for line item transfers. The DHCD Division of Finance and Administration posts and tracks expenditures under the State's Financial Management Information System (FMIS); which is a Statewide database system that accounts and posts funding for each CSBG agreement.

**10.12. Single Audit Management Decisions:** Describe state procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521. [Narrative, 5000 Characters]

The DHCD Internal Auditor works with the Office of Community Services Programs to coordinate the oversight and management of the eligible entity Single Audits. OMB Uniform Guidance (2 CFR Part 200) requires single audits to be submitted within nine months. Once the single audit has been completed,

DHCD will request and download a copy from the Federal Audit Clearinghouse and confirm the audit was submitted to FAC. If there are findings cited, or if an eligible entity was found to be a high risk auditee, the State's Office of Community Services Programs will formally request a response from the eligible entity for any findings and conduct additional oversight if deemed necessary.

**Note:** This information is associated with State Accountability Measure 4Sd.

- 10.13. Assurance on Federal Investigations:** The state will “permit and cooperate with Federal investigations undertaken in accordance with Section 678D” of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act. ☒ Yes ☐ No

**Note:** This response will link with the corresponding assurance, Item 14.7

- 10.14. Performance Management Adjustment:** Describe any adjustments the state made to monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the state’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail. **[Narrative, 2500 Characters]**

In the past two years, the State has made significant revisions and updates to the monitoring tool and procedures. The State has shared the updated policies and tools with eligible entities via webinar and onsite trainings.

**Note:** This item is associated with State Accountability Measure 4Sb and may pre-populate the state’s annual report form.

## SECTION 11

### Eligible Entity Tripartite Board

- 11.1. Tripartite Board Verification:** Verify which of the following measures are taken to ensure that the state verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B of the CSBG Act. **[Check all that applies and narrative where applicable]**

- ☒ Attend Board meetings
- ☒ Organizational Standards Assessment
- ☒ Monitoring
- ☒ Review copies of Board meeting minutes
- ☒ Track Board vacancies/composition
- ☐ Other **[Narrative, 2500 characters]**

- 11.2. Tripartite Board Updates:** Provide how often the state requires eligible entities (which are not on TAPs or QIPs) to provide updates regarding their Tripartite Boards. This includes but is not limited to copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc. **[Select one and narrative where applicable]**

- ☐ Annually
- ☐ Semiannually
- ☐ Quarterly
- ☐ Monthly
- ☐ As It Occurs
- ☒ Other **[Narrative, 2500 characters]**

**An eligible entity must have a written plan that describes the process for identifying candidates to fill board vacancies in each of the three sectors of the tripartite board. The State requires that eligible entities notify the State of any board vacancy within 30 days of its occurrence. At the time of notification, the State requires the eligible entity to submit a written plan to the State that outlines the steps the eligible entity will take to fill the vacancy within 90 days of the vacancy. At the conclusion of the 90-day period, the eligible entity will notify the state that the candidate has been identified and the date the new board member will officially become a member of the board. If a new candidate has not been identified at this time, the eligible entity may submit a written request to extend the 90-day period, at the discretion of the State. If an extension is requested, the eligible entity must provide specific details as to any challenges or barriers to identifying candidate, steps the eligible entity will take to address these challenges or barriers, and a timeline for a successful completion of the search.**

- 11.3 Tripartite Board Representation Assurance:** Describe how the states will verify that eligible entities have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entity's Tripartite Board as required by the assurance under Section 676(b)(10) of the CSBG Act. **[Narrative, 2500 Characters]**

The State will review by-laws, policies, and relevant board minutes of all eligible entities during desk and on-site monitoring.

**Note:** This response will link with the corresponding assurance, Item 14.10.

- 11.4 Tripartite Board Alternative Representation:** Does the state permit public eligible entities to use, as an alternative to a Tripartite Board, “another mechanism specified by the state to assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs” as allowed under Section 676B(b)(2) of the CSBG Act? ☐ Yes ☒ No

**11.4a.** If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board. **[Narrative, 2500 Characters]**

## Section 12

### Individual and Community Income Eligibility Requirements

**12.1. Required Income Eligibility:** Provide the income eligibility threshold for services in the state. [Select one item below and numeric response where applicable.]

☒ 125% of the HHS poverty line

☐ X % of the HHS poverty line (fill in the threshold): \_\_\_\_% [Numeric response]

☐ Varies by eligible entity [Narrative, 5000 characters]

**12.1a.** Describe any state policy and/or procedures for income eligibility, such as treatment of income and family/household composition. [Narrative, 5000 Characters]

**12.2. Income Eligibility for General/Short Term Services:** Describe how the state ensures eligible entities generally verify income eligibility for those services with limited in-take procedures (where individual income verification is not possible or practical). An example of these services is emergency food assistance. [Narrative, 5000 Characters]

During comprehensive monitoring visits, the State will review the policies of the eligible entity to ensure income eligibility requirements are clearly outlined for frontline staff. At this time, the State will also review sample client files to ensure income eligibility requirements are met in relation to the services provided.

**12.3. Community-targeted Services:** Describe how the state ensures eligible entities' services target and benefit low-income communities for those services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations). [Narrative, 5000 Characters]

The Annual Community Action Plan (CAP Plan) requires that all eligible entities submit specific plans on how they intend to address the needs identified in the Community Needs Assessment to benefit low-income communities

## SECTION 13

### Results Oriented Management and Accountability (ROMA) System

- 13.1. Performance Measurement System:** Identify the performance measurement system that the state and all eligible entities use, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act. **[Select one]**

**Note:** This response will also link to the corresponding assurance, Item 14.12. and will pre-populate the Annual Report, Module 1, Item I.1.

☒ **The Results Oriented Management and Accountability (ROMA) System**

- ☐ Another performance management system that meets the requirements of Section 678E(b) of the CSBG Act
- ☐ An alternative system for measuring performance and results

- 13.1a. ROMA Description:** If ROMA was chosen in Item 13.1, describe the state's written policies, procedures, or guidance documents on ROMA. **[Narrative, 5000 characters]**

Due to a lack of overall capacity, the State does not currently have official policies related to ROMA. However, over the past year, program staff from the State Lead Agency has increasingly focused on expanding our work around ROMA. To that end, over the next two years, the State intends to develop, with input from eligible entities, a policy document related to ROMA.

- 13.1b. Alternative System Description:** If an alternative system was chosen in Item 13.1, describe the system the state will use for performance measurement. **[Narrative, 5000 characters]**

- 13.2. Outcome Measures:** Indicate and describe the outcome measures the state will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act. **[Select one and Narrative, 5000 characters]**

**Note:** This response will also link to the corresponding assurance, Item 14.12.

☒ **CSBG National Performance Indicators (NPIs)**

- ☐ NPIs and others
- ☐ Others

- 13.3. Eligible Entity Support:** Describe how the state supports the eligible entities in using ROMA or an alternative performance management system. **[Narrative, 5000 characters]**

**Note:** The activities described under Item 13.3 may include activities listed in "Section 8: Training and Technical Assistance." If so, mention briefly, and/or cross-reference as needed. This response will also link to the corresponding assurance, Item 14.12.

The State will continue to support eligible entities by implementing the ROMA Theory of Change platform. The State Lead Agency will use these funds to support training and technical assistance activities targeted at Eligible Entities. Topics may include board governance; fiscal management; Organization Standards; and capacity building.



- 13.4. Eligible Entity Use of Data:** Describe how the state plans to validate that the eligible entities are using data to improve service delivery. **[Narrative, 5000 characters]**

**Note:** This response will also link to the corresponding assurance, Item 14.12.

In both on-site and desk monitoring, the State requires eligible entities to address this question. Eligible Entities are required to provide verifiable examples of how data is being used to improve service delivery. Eligible Entities are provided feedback both individually and as a whole during on-site visits and the State Association meetings and conferences.

#### **Community Action Plans and Needs Assessments**

- 13.5. Community Action Plan:** Describe how the state will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act. **[Narrative, 5000 characters]**

**Note:** This response will link to the corresponding assurance, Item 14.11.

The grant agreement between the State and each eligible entity requires that grantees meet all federal and State requirements of the award, including submission of reports and data. The State notifies eligible entities of the deadline for submission of the CAP plan and tracks submission from each Agency.

- 13.6. Community Needs Assessment:** Describe how the state will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by Section 676(b)(11) of the CSBG Act. **[Narrative, 5000 characters]**

**Note:** This response will link to the corresponding assurance, Item 14.11.

The grant agreement between the State and each eligible entity requires that grantees meet all federal and state requirements of the award, including submission of reports and data. The State notifies eligible entities of the deadline for submission of the community needs assessment and tracks submission from each eligible entity. This is also part of the monitoring tool for on-site monitoring visits.



**SECTION 14**  
**CSBG Programmatic Assurances and Information Narrative**  
*(Section 676(b) of the CSBG Act)*

**14.1. Use of Funds Supporting Local Activities**

***CSBG Services***

**14.1 a. 676(b)(1)(A)** Describe how the state will assure “that funds made available through grant or allotment will be used –

- (A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--
  - (i) to remove obstacles and solve problems that block the achievement of self- sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
  - (ii) to secure and retain meaningful employment;
  - (iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;
  - (iv) to make better use of available income;
  - (v) to obtain and maintain adequate housing and a suitable living environment;
  - (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;
  - (vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to –
    - (I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
    - (II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

**[Narrative, 5000 characters]**

**The State will assure that funds are used for eligible activities through the evaluation of the Community Action Plans submitted by each eligible entity, the Community Needs**

assessment, and on-site monitoring. These activities are enforced through relevant provisions in the grant agreement between the State and eligible entities.

## Needs of Youth

**14.1b. 676(b)(1)(B)** Describe how the state will assure “that funds made available through grant or allotment will be used –

- (B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--
  - (i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
  - (ii) after-school child care programs;

**[Narrative, 5000 characters]** The State will assure that funds are used for eligible activities through the evaluation of the Community Action Plans submitted by each eligible entity, the Community Needs assessment, and on-site monitoring. These activities are enforced through relevant provisions in the grant agreement between the State and eligible entities.

### *Coordination of Other Programs*

**14.1c. 676(b)(1)(C)** Describe how the state will assure “that funds made available through grant or allotment will be used –

- (C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts)

**[Narrative, 5000 characters]** The State will assure that funds are used for eligible activities through the evaluation of the Community Action Plans submitted by each eligible entity, the Community Needs assessment, and on-site monitoring. These activities are enforced through relevant provisions in the grant agreement between the State and eligible entities.

### **State Use of Discretionary Funds**

- 14.2. 676(b)(2)** Describe “how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle.”

**Note:** the State describes this assurance under “State Use of Funds:

Remainder/Discretionary,” items 7.9 and 7.10

[No response; links to items 7.9 and 7.10.]

### **Eligible Entity Service Delivery, Coordination, and Innovation**

- 14.3. 676(b)(3)** “Based on information provided by eligible entities in the State, a description of...”

#### ***Eligible Entity Service Delivery System***

- 14.3a. 676(b)(3)(A)** Describe “the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the State;”

[Narrative, 5000 characters] The State requires that all eligible entities submit an annual Community Action Plan. Eligible entities must identify service areas, the delivery system for serving those areas, and how they will target low-income individuals and families in the provision of these services.

#### ***Eligible Entity Linkages – Approach to Filling Service Gaps***

- 14.3b. 676(b)(3)(B)** Describe “how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and follow up consultations.”

**Note:** The state describes this assurance in the State Linkages and Communication section, item 9.3b.

[No response; links to 9.3b.]

#### ***Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources***

- 14.3c. 676(b)(3)(C)** Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources.”

**Note:** The state describes this assurance in the State Linkages and Communication section, item 9.7.

[No response; links to 9.7]

#### ***Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility***

- 14.3d. 676(b)(3)(D)** Describe “how the local entity will use the funds [made available under 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting.”

**Note:** The description above is about eligible entity use of 90 percent funds to support these initiatives. States may also support these types of activities at the

local level using state remainder/discretionary funds, allowable under Section 675C(b)(1)(F). In this State Plan, the state indicates funds allocated for these activities under item 7.9(f).

**[Narrative, 5000 characters]** The State will assure that 90 percent funds are used for eligible activities through the evaluation of the Community Action plans submitted by each eligible entity, the Community Needs assessment, and on-site monitoring. These activities are enforced through relevant provisions in the grant agreements between the State and eligible entities.

#### **Eligible Entity Emergency Food and Nutrition Services**

- 14.4. 676(b)(4)** Describe how the state will assure “that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals.”

**[Narrative, 5000 characters]** The State will assure that funds are used for eligible activities through the evaluation of the Community Action plans submitted by each eligible entity, the Community Needs assessment, and on-site monitoring. These activities are enforced through relevant provisions in the grant agreements between the State and eligible entities.

#### **State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities**

- 14.5. 676(b)(5)** Describe how the state will assure “that the State and eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the State and in communities with entities providing activities through statewide and local workforce development systems under such Act.”

**Note:** The state describes this assurance in the State Linkages and Communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.

**[No response; links to items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b]**

#### **State Coordination/Linkages and Low-income Home Energy Assistance**

- 14.6. 676(b)(6)** Provide “an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low- income home energy assistance) are conducted in such community.”

**Note:** The state describes this assurance in the State Linkages and Communication section, items 9.2 and 9.5.

**[No response; links to 9.2 and 9.5]**

#### **Federal Investigations**

- 14.7. 676(b)(7)** Provide “an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D.”

**Note:** The state addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13.

**[No response; links to 10.13]**

DRAFT

## **Funding Reduction or Termination**

- 14.8. 676(b)(8)** Provide “an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b).”

**Note:** The state addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.

**[No response; links to 10.7]**

## **Coordination with Faith-based Organizations, Charitable Groups, Community Organizations**

- 14.9. 676(b)(9)** Describe how the state will assure “that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations.”

**Note:** The state describes this assurance in the State Linkages and Communication, item 9.6.

**[No response; links to 9.6]**

## **Eligible Entity Tripartite Board Representation**

- 14.10. 676(b)(10)** Describe how “the State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation.”

**Note:** The state describes this assurance under Eligible Entity Tripartite Boards, item 11.3

**[No response; links to item 11.3]**

## Eligible Entity Community Action Plans and Community Needs Assessments

- 14.11. 676(b)(11)** Provide “an assurance that the State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a community services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs.”

**[No response; links to items 13.5 and 13.6]**

## State and Eligible Entity Performance Measurement: ROMA or Alternate system

- 14.12. 676(b)(12)** Provide “an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to section 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization.”

**Note:** The state describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4.

**[No response; links to 13.1, 13.2, 13.3, and 13.4]**

## Validation for CSBG Eligible Entity Programmatic Narrative Sections

- 14.13. 676(b)(13)** Provide “information describing how the State will carry out the assurances described in this section.”

**Note:** The state provides information for each of the assurances directly in section 14 or in corresponding items throughout the State Plan, which are included as hyperlinks in section 14.

**[No response for this item]**

- ☐ By checking this box, the state CSBG authorized official is certifying the assurances set out above.



## SECTION 15

### Federal Certifications

**The box after each certification must be checked by the State CSBG authorized official.**

#### **15.1. Lobbying**

##### ***Certification for Contracts, Grants, Loans, and Cooperative Agreements***

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

##### ***Statement for Loan Guarantees and Loan Insurance***

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

- ☐ By checking this box, the state CSBG authorized official is providing the certification set out above.

## 15.2. Drug-Free Workplace Requirements

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645 (a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

### ***Certification Regarding Drug-Free Workplace Requirements*** (Instructions for Certification)

- (1) By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
- (2) The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- (3) For grantees other than individuals, Alternate I applies.
- (4) For grantees who are individuals, Alternate II applies.
- (5) Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
- (6) Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
- (7) If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
- (8) Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

**Controlled substance** means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

**Conviction** means a finding of guilt (including a plea of nolo contendere) or imposition of

sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

**Criminal drug statute** means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

**Employee** means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

### ***Certification Regarding Drug-Free Workplace Requirements***

#### **Alternate I. (Grantees Other Than Individuals)**

The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about --
  - (1) The dangers of drug abuse in the workplace;
  - (2) The grantee's policy of maintaining a drug-free workplace;
  - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
  - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --
  - (1) Abide by the terms of the statement; and
  - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -
- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code) **[Narrative, 2500 characters]**

☐ Check if there are workplaces on file that are not identified here. Alternate II. (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

☐ By checking this box, the state CSBG authorized official is providing the certification set out above.

### 15.3. Debarment

#### ***CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS***

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - - Primary Covered Transactions

##### Instructions for Certification

- (1) By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
- (2) The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
- (3) The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- (4) The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
- (7) The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and

Voluntary Exclusive-Lower Tier Covered Transaction,” provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

\*\*\*\*\*

***Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -***

**Primary Covered Transactions**

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
  - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
  - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

*Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions*

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- (2) The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- (3) The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
- (4) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- (5) The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- (6) The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (7) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.



- (8) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (9) Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

\*\*\*\*\*

*Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions*

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.
- ☐ By checking this box, the state CSBG authorized official is providing the certification set out above.

#### 15.4. Environmental Tobacco Smoke

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

- ☐ By checking this box, the state CSBG authorized official is providing the certification set out above.